UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF IOWA

Electronic Case Filing
User Manual

Cedar Rapids

Sioux City

Fort Dodge

September, 2003
March 2004 - Revision 01
April 2004 - Revision 02

User Manual

SECTION 1.0   INTRODUCTION:

1.1   CM/ECF:
CM/ECF is an acronym for Case Management/Electronic Case Filing. This will replace the court's current case management system nationwide over the next several years. As contrasted with the present system, CM/ECF offers many advantages both to the court and counsel. Specifically, CM/ECF allows counsel to file documents electronically 24/7; provides for the receipt and service of documents in real time; allows documents to be stored and searched electronically; and provides counsel access to the court's docket sheets and databases 24/7.

1.2   This Manual:
This Manual provides attorneys with instructions on how to use CM/ECF. The rules governing the use of CM/ECF are set out in the court's Local Rules and Procedural Manual. This Manual, when used in conjunction with other resources provided by the court, should enable the user to access and use the System in an effective and efficient manner.

SECTION 2.0 REQUIREMENTS:

2.1   User Experience:
This is a simple, user friendly System that requires a minimum of technical skills to use effectively. However, it is necessary that the user have a basic familiarity with the following:
a.   Windows 95 or higher.
b.   The use of an Internet browser.
c.   The conversion of documents to Adobe Acrobat format (PDF).
d.   Scanning documents.

2.2   Hardware Requirements:
To effectively use this System, the user should have access to the following:
a.   While the System can be used with an IBM or MAC PC with a 486-66 Mhz processor, we strongly recommend the use of a Pentium PC or Mac with a minimum 64 MB Ram.
b.   Access to a scanner will be necessary to submit any type of document that is not generated by word processing software. Photographs, drawings and other exhibits of this nature fall under this category.

2.3   Software Requirements:
To effectively use this System, the following software is required:

a. A web browser. Again, while other browsers may work, we strongly recommend the use of Netscape 4.76 which can be downloaded free of charge at:

http://wp.netscape.com/download/0222101/10000-en-win32-4.76-complete-128_qual.html.

Other browsers may perform equally well; however, other courts have experienced occasional problems with Internet Explorer and Netscape 6.0. These problems are being addressed but, at this time, we cannot guarantee these browsers will perform at the same level as Netscape 4.76.

b. Internet service provider using Point-to-Point Protocol (PPP). We do not recommend a particular provider, but we do recommend an access speed of 56K or faster.

c. Adobe Acrobat. PDF is the only format used with CM/ECF. The minimum requirement is Adobe Acrobat Reader. However, with Adobe Acrobat Reader, you only will be able to read documents. You must have Adobe Acrobat (or another compatible PDF formatter) to write or convert your word processing documents into PDF. Details on how to obtain this software can be found on the web at Adobe.com or by telephone at 888-502-5275.

d. Windows-based or Macintosh word processor. Any DOS based word processor will be insufficient as the Adobe Acrobat software will be unable to generate a PDF file from these word processors.

e. Access to electronic mail.

2.4 PACER (Public Access to Court Electronic Records) Account

Non-court users must have a PACER Account. The U.S. Congress has given the Judicial Conference of the United States authority to impose user fees for electronic access to case information. All registered agencies or individuals will be assessed a charge of $.07 per page. Generally, a page is defined as 54 lines of data. Additionally, there is a cap on the per page charge (a maximum of $2.10 or the equivalent of 30 pages) for electronic access to any single document. **When charges are accrued, a transaction receipt will appear before the document may be viewed. This receipt will indicate the date and time of the transaction, the type or description of the transaction, the number of pages billed and the cost for that particular transaction. The user may click the "View document" button to proceed, or use the browser's Back button to cancel the request.** If you want to check charges which have been incurred in a case or over a period of time, you may do so by clicking on Utilities then Review Billing History.

The PACER Service Center sends quarterly statements to account holders. For any balance less than $10.00, payment will be deferred until the next quarter. For more information regarding billing and payment requirements, or to obtain a registration form for this account, users may contact the PACER Service Center

by calling (800) 676-6856 or (210) 301-6440, or via e-mail at pacer@psc.uscourts.gov. There is no fee to obtain the account. It takes approximately one (1) week to receive a login and password from the PACER Service Center.

2.5   Registration
Registration is required for participation in CM/ECF. Registration forms are available on the court's web site at www.iand.uscourts.gov.

2.6   Login & Password
New users will receive login and password identification following registration. Since the password and login constitute the filer's signature pursuant to Fed. R. Civ. P. 11, care should be taken to ensure that this information is protected from unauthorized use. Attorneys may change their own login and password at any time through maintenance of their user account. If an attorney has forgotten or misplaced the login and/or password, s/he should contact the court to have new ones issued.

SECTION 3.0 WEB ACCESS ADDRESSES AND HELP DESK:

3.1   Court Internet Address:
We have devoted a section of our web page to CM/ECF. That section contains downloadable versions of this Manual and other useful documents, as well as links to other helpful sites and training resources. This section can be accessed from our home page located at www.iand.uscourts.gov. Our training database can be accessed from the cm/ecf section of our web page or directly at ecf-train.iand.uscourts.gov. Our live system can be accessed from the cm/ecf section of our web page or directly at ecf.iand.uscourts.gov.

3.1   Help Desk:
The court has also established a Help Desk to assist you with any specific questions you may encounter during your use of CM/ECF. Both technical and procedural questions should be directed to the Help Desk. The Help Desk will be staffed from 8:00 am-4:30 pm, Monday through Friday. It is designed to provide quick answers to your questions and, in most cases, your questions should be answered on the spot. For questions that cannot be answered immediately, our goal is to respond to all questions within twenty-four (24) hours. Technical questions will likely be referred to systems staff for resolution.

To reach the Help Desk, please call:

Cedar Rapids: 319/286-2300   *(closed 12:00-*

Sioux City: 712/233-3900
            Or e-mail us at ecfhelp@iand.uscourts.gov

3.2   Suggestions:
        If you have suggestions on how the System can be improved, please e-mail them
        to us at ecfhelp@iand.uscourts.gov.

SECTION 4.0 RESOURCES/WEB PAGE:
        We have collected a number of resources which are described below in a central location on our
        web page. To access this information, go to our web page at www.iand.uscourts.gov and click
        on the CM/ECF section. The information there includes:

4.1   Computer Based Training (CBT):
        The courts have designed a series of basic generic training modules to help users become familiar
        with the electronic filing systems often referred to as CBTs. This resource involves a series of
        twelve (12) separate modules that take approximately ten (10) minutes each to complete. Many
        of the modules include tests allowing you to check your progress. Again, these are generic
        modules and the individual screens may differ slightly from our System but the principles are the
        same. The CBTs can be accessed from the CM/ECF section of our web page or directly at
        http://pacer.psc.uscourts.gov/ecfcbt/dc.

4.2   ECF Tutorial:
        An on-line tutorial has been developed by the Court Education Division of the Federal Judicial
        Center. This tutorial is slightly more advanced than the CBTs and simulates the filing of
        documents, updating a user's e-notification screen, viewing docket sheets, and performing
        queries. The tutorial takes approximately forty-five (45) minutes to complete and will be updated
        as new releases of the software containing significant functional changes are loaded. However,
        it should be noted that this is a generic tutorial and since we have made substantial modifications
        to our program, the screens seen by the user may not always be identical. The tutorial is
        accessible   from   the   CM/ECF   section   of   our   web   page   or   directly   at
        http://ord.uscourts.gov/ecf/ecf22/index.html.

4.3   Reference Materials: This section contains a number of reference documents including:
        a.   User Manual: This Manual is intended as a general guide to docketing specific events
                and should be used in conjunction with other available resources.

        b.   Procedural Manual: This Manual, together with the court's Local Rules, sets out the rules
                adopted by the court governing electronic filing.

        c.   Attorney Training Manual: This is a copy of the current PowerPoint presentation used
                to train attorneys and other users.

        d.   Guide to PDF: This is a simple manual which aids the user in understanding the
                use of PDF documents.

4.4   FAQ: This section of the web page contains a list of frequently asked questions.

4.5   <u>Login to Training Database</u>:   This section of the web page contains a link to the court's training database which attorneys may use to explore CM/ECF.

4.6   <u>Login to LIVE Database</u>:   This section contains a link to the court's live database.

4.7   <u>Additional Resources Not Available on the Web Page</u>:
     a.   **<u>PACER Service Center</u>**:
        The PACER Service Center can be contacted in the following manners:
        Phone:
            (800) 676-6856
            (210) 301-6440
        Website: pacer.psc.uscourts.gov
        E-mail: pacer@psc.uscourts.gov
        Regular Mail:
        PACER Service Center
        P.O. Box 780549
        San Antonio, TX 78278-0549

     b.   **<u>Adobe Acrobat</u>**
        Website: adobe.com
        Telephone: (888) 502-5275

SECTION 5.0 LOGGING INTO CM/ECF

5.1   **The ECF Login and Pacer Screen (Non-Court Users)**:
When you log onto CM/ECF, the first screen you will see is:
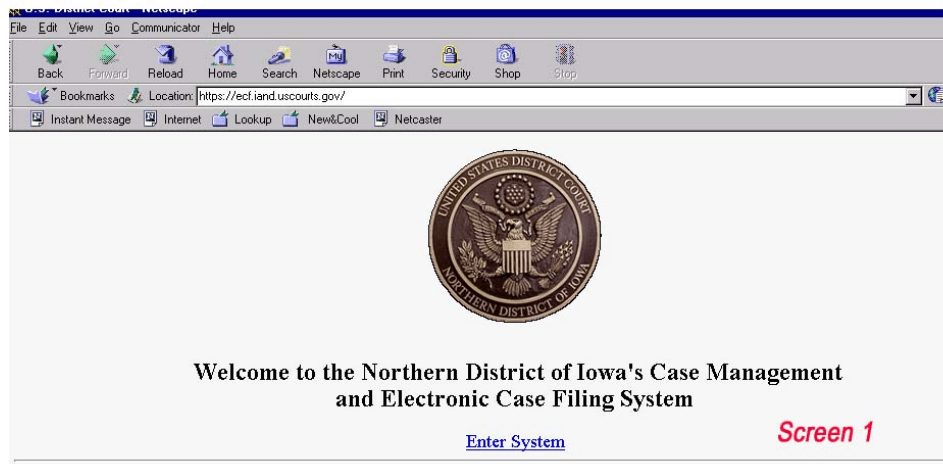
To log in, simply Click on <u>Enter System</u> and the following screen will appear:

If you want to file a document or update your User Account (*i.e.,* update address, alter e-mail notification information, or change logins and passwords), log in by entering your court-generated CM/ECF login and password in the appropriate boxes and pressing the "Login" button.

During your session, if you deviate from either electronically filing a document or maintaining your user account by clicking on the Query or Report menus, the System will prompt you for your PACER issued login and password. If you choose "Make this my default PACER login", the System will link your PACER information to your CM/ECF login and password. At that point, you will not be required to enter your PACER information while working in CM/ECF.

If you wish only to generate reports (*i.e.*, view a docket sheet) or query case information, initially enter the System using your PACER issued login and password. If you then need to file a document or maintain your account, select the UTILITIES menu from the main menu bar. From that menu, select ECF Login to enter your court issued CM/ECF login and password.

The *client code* field is an optional field provided on the login screens for tracking purposes during PACER (report and query) functions. The field can contain up to 32 characters. If a client code is entered for a transaction, that client code will appear on the billing statement generated by the PACER Service Center. A client code will not appear on the bill unless it is entered at the time of the transaction. Because this code feature is optional, it must be enforced within the user's office.

SECTION 6.0 SETTING UP YOUR USER ACCOUNT

6.1   Changing your password:
       If you have successfully logged into CM/ECF, you should see the following
       screen (Screen 3):

You have now logged into CM/ECF and have several options. First, we will explore maintaining your account. Then we will move to docketing pleadings and, from there, to running reports.

To change your password or the way you receive e-mail notification, Click on **UTILITIES**. This will bring up Screen 4 where you click on <u>Maintain Your Account.</u>

Utilities

Screen 4
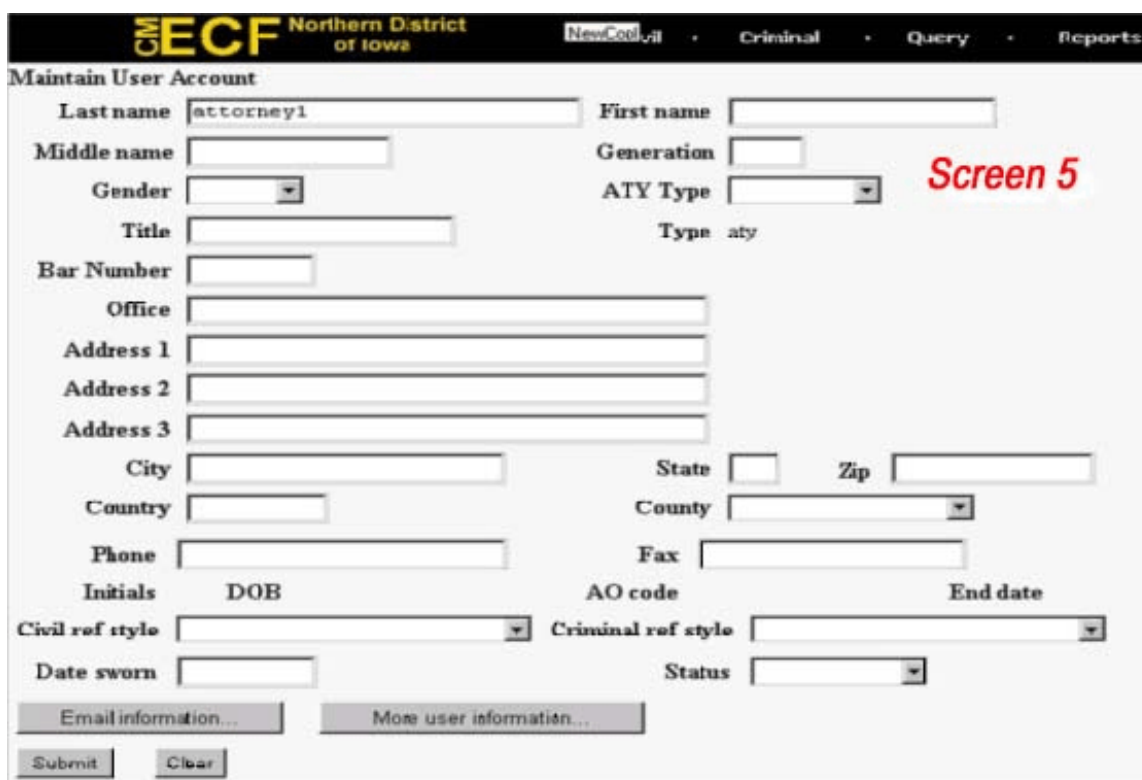
Your Account
Maintain Your Account
View Your Transaction Log
Change Your PACER Login

You will then see Screen 5.

Screen 5

Please confirm that the information on this screen is correct. If it is correct, press "More user information" and you will see Screen 6:

Screen 6

Your login should appear in the login box and an encrypted password in the Password Box. You may now change your password by doing the following:

1. Type your new password in the password box.
2. Click on the Return to Account screen.
3. This will bring up Screen 5. To complete the transaction, you **must** now click on Submit and then Submit again on the next screen that appears.

6.2 Changing your e-mail notifications:

CM/ECF offers many options for receiving notifications of filings via e-mail. Since your e-mail address is the key to receiving these notices, you should first know how to check and change it as necessary. Secondly, you should know how to direct e-mail notification to others when you are unavailable or out of the office. Finally, the System will automatically send notice of filings in cases in which you are an attorney of record, but you should also know how to instruct the System to send notices of filings in other cases of interest to you.

E-mail modifications are made in a fashion similar to changing your password as set out above. Start by following steps 1-3 outlined above (Login, click on Utilities) and when you see screen 5, click on "e-mail information" and creen 7 will appear.

The first box labeled "Primary e-mail address" is where you enter your e-mail address. This is where e-mail will be sent to you for cases in which you are an attorney of record. If you wish to change that address, simply do the following:

1. Type your new e-mail address in the box.
2. Click on "Return to Account screen".
3. This will bring up Screen 5. To complete the transaction you **must** now click on Submit and then Submit again.

The next section of this screen allows you to direct e-mail in several ways. First, if the box in front of "to my primary e-mail address" is checked, only you will receive notice at your primary e-mail address.

If only the box in front of "to these additional addresses" is checked, notice will be sent only to those addresses set out in that box. If both boxes are checked, then notice will be sent to all e-mail addresses. This is a useful feature when you are on vacation or you simply would like your paralegal or secretary to receive copies of all documents to aid in the maintenance of your paper file. However, keep in mind that all e-mails will be forwarded not just those in selected cases. If you wish another attorney to receive e-mail on a select number of cases, the next box must be used as explained below. To add e-mail addresses, simply do the following:

1. Type the new addresses in the large box.
2. Click on the small box that suits your needs.
3. Click on "Return to Account screen".
4. This will bring up Screen 5. To complete the transaction you **must** now click on Submit and then Submit again.

The next section of this screen allows you to select the cases in which you want to receive notice. As noted above, the System will automatically send you e-mail notice of filings in all cases in which you are an attorney of record. This screen allows you to add other cases in which you would like to receive notice. This procedure works well if you wish to have another attorney cover particular cases for you when you are out of the office. The key, however, is to have that attorney add those cases to his/her e-mail notification. To add an additional case:

1. Type the case number in the box. (Form xx-xxxx or xxcvxxx or xxcrxxx)
2. Check the check box in front of "Send notices in these additional cases".
3. Check the radio button to indicate if you want notice of each filing or a daily notice. If you select "Notice of Each Filing", you will receive an e-mail each time a document is filed in the case. If you select "Daily Notice", you will receive a notice of filings once each day.
4. Click on the Return to Account button.
5. This will bring up Screen 5. To complete the transaction you **must** now click on Submit and Submit again.

The next section of this screen allows you to choose how e-mails are sent. If you check the box "send notice of each filing" you will receive a separate e-mail for each filing. The advantage to this method is that you receive notice immediately. The disadvantage is that you receive numerous e-mails. If you check the box "Send a Daily Summary Report" you will receive one e-mail with all the filing for that day. The advantage is you will only get one e-mail; the disadvantage to this choice is that the summary e-mail is generated for the day at midnight so there will be some delay in your receipt of e- mails.

The final section of this screen "Format notices" should generally be left on "html format for Netscape or ISP e-mail Service". However, if you encounter problems receiving e-mails with this radio button checked, checking the other radio button will generally solve the problem.

SECTION 7.0 OPENING/FILING A CASE:

Counsel desiring to file a civil case shall supply the Clerk's Office with the information required to open the case in our System. In a civil case, counsel shall supply the Clerk's Office with a copy of the civil cover sheet **(completed in its <u>entirety</u> and with all parties listed thereon)**; the filing fee; and requested service of process forms. The Clerk's Office will then open the case in the System and provide counsel with the case number via e-mail. Counsel shall then docket the complaint.

The procedure for opening criminal cases has not changed with the implementation of CM/ECF. The same documents as are currently required should be supplied by the U.S. Attorney and the clerk will open the case and supply counsel with the case number.

> **Note: Sealed cases will not be scanned into the System so the procedure followed for opening sealed cases will be the same as currently used.**

Where a plaintiff is seeking to proceed in forma pauperis, a copy of the civil cover sheet **(completed in its <u>entirety</u> and with all parties listed thereon)**, shall be forwarded to the Clerk. The Clerk will open the case in the System and provide counsel with the case number via email. Counsel shall then docket the Motion to Proceed In Forma Pauperis, attaching the proposed Complaint to the motion.

SECTION 8.0 GETTING STARTED: SOME TIPS FOR NAVIGATING CM/ECF:

8.1 <u>**Shortcut Keys and Techniques**</u>

a. **Netscape "Back" and "Forward" Buttons**
The *BACK* and *FORWARD* buttons are helpful tools which allow you to advance or reverse one screen at a time. This allows you to review your work without having to re-do it and/or to correct errors if found. If an error has been made or the user needs to verify entries on a previous screen, click the *BACK* button to the specific screen. The *FORWARD* button moves a screen ahead to return to the target screen. If you are simply reviewing your work, you may use the *BACK/FORWARD* buttons. If, however, a change is made, you must use the *NEXT* button to progress and re-enter the appropriate information on all subsequent screens.
<u>Note:</u> **A user may always exit a CM/ECF transaction before it is committed by using the *BACK* key or clicking on another menu selection from the top of the frame.**
Note: Not all browsers allow this function to work. For example, it will not work with Explorer.

b. **The "Tab" Key**
CM/ECF screens are navigated by using the mouse; however the user may also use the *TAB* key and space bar to move through the data entry fields in most screens. Active or "focus" radio buttons have a faint dotted outline around them. A focus button may be activated by hitting the space bar. The user may also use the *SHIFT* and *TAB* keys simultaneously to move back one field at a time.

c. **Selecting Multiple Parties or Events**
Many of CM/ECF's selections appear in alphabetical order in drop down lists. Multiple items may be selected from these lists by holding the *CONTROL* key and clicking on selections in the same drop down list. To select a range of items, hold the *SHIFT* key and click on the top and bottom of the selection range.

d. Definition of Button(s) and Box(es)

    i.   <u>Radio Button</u>: A round selection button you click on to select an item from a list. Radio buttons are designed so that you can choose only one item.

    ii.   <u>Check Box</u>: A control object you can click on to select choices from a list. Check boxes are designed so that you can choose one or more items from a list.

    iii.   <u>Drop Down Text Box</u>: A menu which appears, or "drops down", from a text box when a down arrow is clicked. It is used to allow counsel to make a selection from a limited menu, such as the type of motion you are filing or the type of deadline to appear on a report. When you see the selection you want to make, click to highlight it.

    iv.   <u>Free Form Text Box</u>: A box which allows counsel to type in any desired text.

8.2 <u>Menus and Event Selections</u>

Navigating and posting events in CM/ECF is by menu and event selections. The menus and events a particular user will see are predicated on their user type (*i.e.,* Court User or Attorney User) and access level to the System.

When you log onto CM/ECF as an attorney, the following menu will appear:

The black bar contains the main or primary CM/ECF menu. The options are Civil, Criminal, Query, Reports, Utilities and Logout. We can start by looking at the "Civil" menu.

a. **<u>Civil Menu:</u>**
To view the Civil menu, simply click on "Civil" on the main menu bar. This will bring up:

Civil Events

Initial Pleadings and Service	Habeas Items (cont.)	1983 Prisoner Cases
Complaints and Other Initiating Documents	Habeas Answer to Complaints	Prisoner Complaint
Service of Process	Habeas Motions	Prisoner Service of Process
Answers to Complaints	Habeas Documents	Prisoner Answer to Complaints
Claims, Obj. to R&R's, Other Answers		Prisoner Motions
	Bankruptcy	Prisoner Documents
Motions and Related Filings	Bankruptcy Complaint	
Motions	Bankruptcy Service of Process	
Responses and Replies	Bankruptcy Answer to Complaints	
	Bankruptcy Motions	
Other Filings	Bankruptcy Documents	
Notices		
Trial Documents	Student Loan Cases	
Appeal Documents	SL Complaint	
Other Documents	SL Service of Process	
	SL Answer to Complaints	
Social Security	SL Motions	
SS Complaint	SL Documents	
SS Service of Process		
SS Answer to Complaints		
SS Motions		
SS Documents		
Habeas Items		**Screen 9**
Habeas Complaint		
Habeas Service of Process		

Similar to the main menu, each of the general classifications listed contains a submenu. When you click on a general classification, that submenu will appear. For example, if you are seeking to docket a motion, you would go to the general classification **Motions and Related Filings** and click on <u>Motions</u>. The following submenu will appear:

Amend/Correct
Appeal In Forma Pauperis
Appear
Appoint Counsel
Appoint Expert
Appoint Receiver
Approve Consent Judgment
Attorney Fees

Next   Clear   **Screen 10**

16
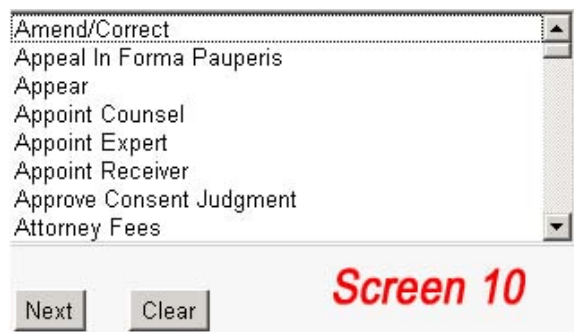
From this screen you scroll down until you find the motion you wish to docket, highlight it and then click Next. You may also navigate this screen by typing the first letter of the event you wish to docket. This will bring you to the first event beginning with that letter. From there you may either scroll down or continue to click on that letter until your event appears. Docketing specific events will be set out in more detail below.

Hints:
1.   **The events are in alphabetical order. When navigating this screen, you can highlight any event then type the first letter of the event you are looking for. This will move you to those events in the menu beginning with the same letter.**
2.   **If you need assistance, click on the "?" and a separate window will open (requiring Adobe Acrobat Reader) in which you can view a searchable list of all events. The window will look like this:**

CM/ECF CIVIL ATTORNEY MENU
CURRENT AS OF: 9/16/03

Initial Pleadings and Service	Motions and Related Filings	
Complaints and Other Initiating	Motions	
Amended Complaint	Amend/Correct	Preliminary Injunction
Application for Writ of Garnishment	Appeal In Forma Pauperis	Proceed In Forma Pauperis
Bankruptcy Appeal	Appear	Protective Order
Case Transferred In - District Transfer	Appoint Counsel	Quash
Complaint	Appoint Expert	Recusal
Counterclaim	Appoint Receiver	Release of Funds
Crossclaim	Approve Consent Judgment	Remand

Screen 11

By clicking on the binocular and then typing in the name of the event for which you are searching, you will find its location. You can then return to the main menu and proceed accordingly. **Note: This feature functions only from the main screen and is an aid to locating events. You cannot docket directly from this menu.**

The other menus work in a similar manner. Next let's look at the Criminal Menu.

b. Criminal Menu:

The process to access the criminal menu is similar to accessing the civil menu outlined above. You simply click on "Criminal" from the main menu and will see:

Criminal Events

Charging Instruments and Pleas
Plea-Related Documents

Motions and Related Filings
Motions
Responses and Replies

Other Filings
Discovery Documents
Waivers
Service of Process
Notices
Trial Documents
Appeal Documents
Other Documents

Screen 12
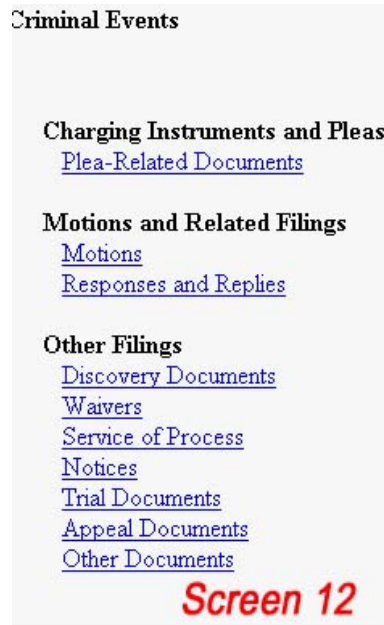
For a searchable list of events, click on the "**?**" and proceed as outlined above. The docketing of specific events will be set out in more detail below.

c. Reports:

Several reports are available to you under CM/ECF. They will be discussed in more detail below. Again they are accessed from the main menu in the same manner as the Civil and Criminal menus. The Reports submenu is set out below:

Reports

Screen 13

Docket Sheet   Civil Reports   Criminal Reports   Civil and Criminal Reports
               Civil Cases   Criminal Cases   Calendar Events
               Judgment Index

d. Query:

The Query feature allows you to search the database in several different manners including case number, attorney, party or case type. Again it is accessed from the main menu in the same fashion as the Civil, Criminal and Reports menus. This feature and its use will be addressed below in greater detail.

At this point, CM/ECF's organizational structure should be familiar to you. It may be helpful to think of it as a large outline. You begin with a very general main menu and progress through submenus that become more specific.

Now that you have an overview of the System, let's move to the examination of specific screens. Similar to the CM/ECF menu pattern with which you become familiar, you will notice a pattern in these screens. Each serves a function and they appear as necessary throughout the docketing process. The next section outlines these common screens and provides instructions for docketing representative types of documents.

SECTION 9.0 DOCKETING SPECIFIC EVENTS:

9.1 **Formatting the Document:**
All documents must be converted from their original word processing format to PDF format before they can be filed in the CM/ECF System. **NOTE: You cannot attach a document if you have placed passwords or other security on it. You will receive an error and will need to remove security prior to attaching the document. If you require assistance, see the Guide to PDF under Reference Materials on the court's web page.**

9.2 **Common Screens:**
As noted above, as you become familiar with CM/ECF, you will notice a pattern in the screens that appear. You will view these screens generally, but not always, after you have selected the event you wish to docket and each serves a function. Many will appear in the same order for each event you are docketing. Understanding the purpose of each screen will help you understand the structure of the CM/ECF.

a. **Case Selection Screen:**
The Case Selection Screen should appear as follows:

Case Number

```
[                              ]  99-12345, 1:99-cv-12345, 1-99-cv-12345, 99cv12345, or 1:99cv12345
```

Screen 14

After you select the event you to file, the System will ask for the case number. This screen selects the case in which you will be docketing. You may type in the number in the format of (yy-####) or year-number. Remember to include a hyphen between the year and number. If the case number is entered incorrectly, an error screen will appear. **Hint: Use one of the formats exemplified immediately following the text box where you enter the case number. If you use the form xx-xxxx, you will see all criminal, civil and magistrate cases with that number. Select your case and click Next.**

After entering the case number, click Next.

b.   **Select Party Filer Screen:**
The select party filer screen looks like this:

Motions Notice - Documents Filed Under Seal or Ex Parte
The court has made the decision pursuant to LR 5.3.e.1, to not allow the filing of sealed pleadings, motions or other documents or any ex parte filings to be made electronically. If any part of the pleading, motion or other document, which you are trying to file at this time is either sealed or exparte, you must file a hard copy with the office of the Clerk of Court. You may not file it electronically

1:03-cv-00004-LRR Schau v. CNA Group Life Co, et al

Select the party who is filing the document:

Select the Party:

```
CNA Group Life Assurance Company, [Defendant]          Add/Create New Party
Continental Casualty Company, [Defendant]
Mercy Hospital, [Defendant]
Mercy Medical Center/Mercy Physicians Services Group Disability Plan, [Defendant]
Mercy Physician Services, Inc., [Defendant]
Schau, Kathleen [Plaintiff]
```

[Next]   [Clear]   *Screen 15*

This screen allows you to select the party filing the document and will be reflected in the docket text. Simply highlight the party filing the document and click Next. Parties can be added on this screen (Section 9.3a5).

20

Note: 1. **This screen contains a link to the docket sheet.**
2. **We have built in many prompts to help you navigate the System, so   please read the screen fully.**

c. **Link Party Attorney:**
The screen appears as follows:

This screen links the attorney with the party filing the document. Users will be required to confirm the party-attorney relationship the <u>first</u> time an attorney files a document on behalf of that party. This is an opportunity for the user to verify that they have chosen the correct party filer. Checking the association box will create an association link between the attorney and party. If the association is correct, click Next.

d. **Attach PDF Document Screen**:
The initial screen appears as follows:

1:03-cv-00004-LRR Schau v. CNA Group Life Co, et al

Select the **pdf** document (for example: C:\199cv501-21.pdf).
Filename

[   ] Browse...

Attachments to Document: ● No ○ Yes

Next   Clear   Screen 17

This screen requires counsel to attach a document in PDF form and is an integral part of the System.

If you know the path to the document in your system, you can type it in the box. If not, click the Browse button.

If you choose the Browse button, you will have to work through several directories to locate where the PDF file is stored on your network. That directory will then become the default directory during the remainder of the active session. In order to facilitate retrieval of documents, counsel should give advanced thought to the naming and organization of files on their network. For more help in this area, please see http://ord.uscourts.gov/ecf/ecf22/v01answer/07_sel_pdf_fd00.html.

With most browsers, the "Files of type" box defaults to HTML type files. To view PDF files, select "All Files" and search for the PDF document to upload. When the file is located, hit "Open". You may also verify the actual document selected by highlighting it, right clicking, and selecting "Open" from the drop down menu. Adobe Reader will launch and the file will be displayed. The full path name of the file will appear in the PDF file upload box. If it is the correct document, click Next.

At this time you will be given the option of attaching additional documents by activating the Yes radio button. This will be covered more thoroughly in the section on docketing Motions for Summary Judgment.

e.   <u>**Text Boxes**</u>:
A common type of text box looks like:

Text boxes are designed to allow counsel to add docket text as necessary. The added text will appear in the docket text and become a part of the permanent file. Text boxes come in two forms: the first box is a drop down which allows counsel to select from a limited menu, while the second box is free form allowing counsel to type in any desired text. Counsel is not required to add text and should do so only to the extent necessary to clarify what is being filed.

f.   <u>**Drop Dead Screen**</u>:
The final screen you will see before the transaction is entered into the System is:

This screen warns that this is your last and final opportunity to check and change what is being filed before it becomes a permanent part of the System. If you are ready to submit this event, click Next. Up until this time, you may still use the Back and Forward buttons to check your work. However, after you click Next, you will be unable to change the document or the text submitted and the document will be filed with the court and served on counsel of record. After clicking on this screen, only the court will be able to modify your entry.

24

g. **Notice of Electronic Filing:**
This the last screen you will see. It confirms that the document has been posted to the docket. The screen looks like:

U.S. District Court

Northern District of Iowa

Notice of Electronic Filing

The following transaction was received from Attorney1, entered on 4/22/2003 at 3:53 PM CDT and filed on 4/22/2003
Case Name: USA v. Heald
Case Number: 1:03-cv-6
Filer: USA
Document Number: 5

Docket Text:
Final MOTION to Compel *testimony* by Plaintiff USA. (Attorney1,)

The following document(s) are associated with this transaction:

Document description: Main Document
Original filename: n/a
Electronic document Stamp:
[STAMP dcecfStamp_ID=1025896836 [Date=4/22/2003] [FileNumber=60036-0]
5079d3448270e94d611b1127ff740e08af64569106b4549d7db69324393c3bfce016b
3a9b545f23fe116deb0bd2ff345cd21c9e4baf3fe0221fd4425f48c445c]]

1:03-cv-6 Notice will be electronically mailed to:

Attorney1   attorney1@mymail.com

ausa1   ausa1@usamail.com

ausa8   ausa8@usamail.com   **Screen 20**

1:03-cv-6 Notice will not be electronically mailed to:

The electronic document stamp is generated from the contents of the PDF file submitted and is your proof of filing or file stamp and your certificate of service for all participating parties. This screen displays the docket text and allows you to access the docket sheet and the document. It shows which attorneys have been notified via e-mail of the submission. It also lists those attorneys or litigants who have not received electronic notification from the System. Court staff will send paper copies of court generated documents to those parties who did not receive electronic notification but it is counsel's responsibility to notice those attorneys regarding documents they file.

While this screen may be printed, it is saved by the System and may be viewed at any time through the Docket Sheet Report, however, PACER fees will generally be incurred.

h. **<u>Linking Screen</u>**:
Since some events relate to or are linked to other events, you will sometimes be given the opportunity to link the event you are filing to another event already on file. This allows the court to view all related events at the same time. The screen will look like this:

First check the box "Refer to existing event(s)?" Then you will see a list of docketed events in the case. Check the box(es) next to the event to which your filing relates, and click Next.

9.3 <u>Overview of Docketing Events In CM/ECF</u>:

CM/ECF is a very user friendly system. We have attempted to make it even more so by creating additional instructions or prompts on various screens where questions might arise. Please take the time to read the prompts and do not hesitate to contact us if you see ways in which the System can be improved. In this section we will try to outline the pattern the System follows while, in the next section, we will walk through selected events that follow the same pattern.

As you begin to docket in CM/ECF, you will find a simple pattern emerging:

1. First, you log onto the System (Section 5.0).

2. Choose the area to access after you have logged on, use the menu and click on the area (Section 8.2). For example, if you want to docket a civil event, you will click on "Civil". If you are working in Criminal, you will select "Criminal" and if you want to query or access a report, you will click on either of those events.

3. After you have selected the appropriate section, you will see a screen containing a submenu. Again you select the area related to your filing and click on it. For example, to docket an answer in a civil case, you

click on "Civil", then "Initial Pleadings and Service" then <u>Answers to Complaints</u>.

4. When you click on the event, a screen will appear asking for the number of the case in which you are docketing. (Section 9.2a.)

5. When the case number is entered and verified, the System will ask who is filing the document. (Section 9.2b.) Identify the party filing the document and, if necessary, add parties.

6. When you have identified the party filing the document, you will be asked to verify the attorney-party relationship if this is the first filing an attorney has made for that party. (Section 9.2b.)

7. Next the System will require you to add a document in PDF format. (Section 9.2d.) At this time you may also add attachments to the document filed.

8. After you have added the document, the System will provide a screen allowing you to insert docket text. (Section 9.2e.)

9. After the docket text is added, you will see the Drop Dead screen. This is your last chance to review your work before it becomes a permanent part of the System. (Section 9.2f.)

10. Finally, you will be provided with a notice of electronic filing (NEF). (Section 9.2g.)

While some screens may appear in different order or additional screens may appear, this is the basic pattern followed for all filings.

9.4 **Specific Examples of How to Docket Common Events - Civil:**
    a. **Docketing a Complaint**:
      1. Log in (Section 5).
      2. From the initial menu screen (Section 8.2) click on Civil.
      3. Under subheading "Initial Pleadings and Service" click on <u>Complaint and Other Initiating Documents</u>:
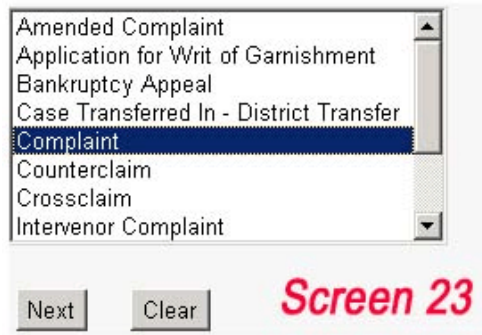
Initial Pleadings and Service
Complaints and Other Initiating Documents
Service of Process
Answers to Complaints
Claims, Obj. to R&R's, Other Answers
Screen 22

4.   Highlight Complaint and click Next:

5.   The case number screen (Section 9.2a) will appear. Type in the case number you have received from our office and click Next.

6.   The next screen you see is the party filer screen (Section 9.2b). Since the Clerk's Office opened the case, all parties should be in the System and should appear on the screen. Select the party you represent, highlight them and click Next. **Note: If the party does not appear or is incorrectly listed, please contact us immediately.**

7.   This should bring up the Link Party Attorney screen (Section 9.2c). Review the screen and, if it is correct, check the box and click Next.

8.	The next screen requires you to select the parties against whom you are filing your complaint. Again, all defendants should be in the System. Check the list and notify our office if any parties are missing or incorrectly named. Highlight the defendants and click Next.
Note: You can select all defendants by clicking on the button under "Select a Group". You may also use the Control and Shift keys to select multiple parties.

Please select the party that this filing is **against**.

Select the Party:	OR	**Select a Group:**

Commissioner of Social Security, [Defendant]
Walters, Josephine S [Plaintiff]

○ No Group
⊙ All Defendants
○ All Plaintiffs
○ All Parties

Next   Clear

Screen 25

9.	The next screen requires you to attach your Complaint (Section 9.2d). Attach the Complaint and any attachments, and click Next.

10.	The next screen asks for the receipt number for the filing fee payment. This information is primarily for the clerk's office and is not required. If you have the receipt number, enter it and press Next. If it is not available, press Next.

11.	The next screen will set the Scheduling Report Deadline. Check the date and, if it is correct, click Next.

Scheduling Report Deadline

Date 01/13/2004 Calendar

Please Note: If your complaint contains a request for class certification without a separate motion, please notify the Judge of your case immediately.

Next   Clear   **Screen 26**

29

Note: This screen contains one of the many prompts we have built into the System. These have been added to make the System more user friendly, so please take the time to read them. If you have suggestions or comments regarding our prompts, please contact us.

12.   The next screen will be a Text Box Screen (Section 9.2e). This is an example of a free form text box which allows you to add docket text to the entry. Text in what you feel is necessary to describe your pleading and click Next. **Note: No text is required.**

Docket Text: Modify as Appropriate.

COMPLAINT [for damages] against all defendants (Filing fee $ 150.) , filed by Josephine S Walters . Scheduling Report due by 1/13/2004. (attorney1,)

Next   Clear   *Screen 27*

13.   The next screen will be the Drop Dead screen (Section 9.2f). This is the last chance you have to review your entry or make changes before the entry becomes a permanent part of the System. Please note that what you text in on the last screen is italicized. Review your work for accuracy.

Docket Text: Final Text

COMPLAINT *for damages* against all defendants (Filing fee $ 150.), filed by Josephine S Walters. Scheduling Report due by 1/13/2004. (attorney1,)

Attention!! Pressing the NEXT button on this screen commits this transaction. You will have no further opportunity to modify this transaction if you continue.

Next   Clear   *Screen 19*

Remember: At this point
1.   You may use the Back and Forward buttons to check

and edit your work.

2.   You may abort this entry with the Back button, Clear or by pressing any of the menu buttons.

3.   Once you click Next, the document will become a permanent part of our System and be served electronically on the other parties.

If you want to complete the transaction, click Next.

14.   The entry of the Complaint is now complete and you will see the Notice of Electronic Filing screen. This is your confirmation that your Complaint has been filed.

Note: Service still must be made in accordance with Fed. R. Civ. P. 4.

b.   **Docketing an Answer**:
The steps for docketing an Answer are similar to docketing a Complaint and are as follows:

1.   Log in (Section 5.0).
2.   From the menu screen (Section 8.2) click on "Civil".
3.   Under the subheading "Initial Pleadings and Service" click on <u>Answers to Complaints.</u>
4.   The case number screen (Section 9.2 a) will appear. Type in the case number and click Next.
5.   The next screen you see will be the Party Filer Screen (Section 9.2b):

This screen requires you to select the party filing the document. Normally all parties will be listed. If the party for whom you are filing an Answer is not listed, this screen gives you the opportunity to add parties.

i.   For Listed Parties:
If the party you represent is listed on this screen, highlight the party and click Next. This will bring up the Link Party Attorney screen unless a previous filing has been made. Review the screen and, if it is correct, check the box and click Next. **Note: While you will need to add attorneys to your specific case, you should be able to select them from our attorney database. If you are unable to select the correct attorney(s) from the database, please contact the Help Desk immediately. Do NOT add attorneys to the court's database.**

ii.   Adding Parties:
If the party you represent or a party against whom you are asserting a claim is not included on the list, you will need to add that party at this time. To do so, begin by clicking on Add/Create Party. You will see this screen:

Screen 28

The first step is to determine if the party you represent is currently in our database. Type in the name of the party and press Search. For example, if you typed in "Wood" and clicked on Search, the next screen would appear:

Screen 29

32

If the party you represent is listed, highlight the name and click on "Select Name From List". This will bring up the following party information screen:

Screen 30

Carefully check the information on this screen and make any necessary changes.

Note: Pay particular attention to the Role screen. This should reflect accurately the party's role in the lawsuit.

If the information is correct, click Submit and you will return to the Select The Party screen. Highlight the party and click Next.

If the party is not in our System, the results of your search will look like:

Screen 31

To add a new party to the System, click on "Create New Party" and a different version of the party information screen will

appear:

Fill in the required information, paying particular attention to the Role field and click Submit. You will return to the Select the Party screen. Highlight the party and click Next.

6.   This should bring up the Link Party Attorney screen unless a previous filing has been made. Review the screen and, if it is correct, check the box and click Next. **Note: You should not need to add attorneys. If there is a problem, contact the Help Desk immediately.**

7.   The next screen you see requires you to link your Answer to a document and to attach your document in PDF format. (Section 9.2d). The screen will look like:

Answers to Complaints
1:02-cv-00002-JAJ Walters v. Comm Social Security

Include	Date	#	Docket Text
☐	01/15/2002	1	COMPLAINT (Summons(es) w/notice,consents,report form, LR16/3.2 to atty for svc) DISMISSAL DDL 6/4/02 GGC

Select the **pdf** document (for example: C:\199cv501-21.pdf).
Filename
[   ] Browse...
Attachments to Document: ⦿ No ○ Yes

Next | Clear

Screen 33

Check the box, attach your Answer and click Next.
Note: You must attach a document and this is the only time you can check and verify you have attached the correct document.

8.   The next screen you see is a version of a Text Box (Section 9.2e). You may text in any required information or leave it blank. Click Next.

9.   You now have the opportunity to add a counterclaim, cross-claim or third-party complaint by checking the appropriate box below. If none of these apply, read the note on jury demand and click Next. **Note: The same procedure for adding parties applies here.**

Answers to Complaints
1:01-cv-00667-PAZ Black v. Jets

☐ Does this filing include a **counterclaim** ? (If yes, click on the box)

☐ Does this filing include a **cross-claim** ? (If yes, click on the box)

☐ Does this filing include a **third-party** complaint? (If yes, click on the box)

Current Jury Demand value is highlighted on a subsequent screen.
If the highlighted value is correct, do NOT change it.
+ If ONLY PLAINTIFF has demanded jury, value should be p (Plaintiff)
+ If ONLY DEFENDANT has demanded jury, value should be d (Defendant)
+ If BOTH sides have demanded jury, value should be b (Both)

Next | Clear   *Screen 34*

10. Jury Demand: You **MUST** choose "b", "d", "n" or "p" at this screen.

If you do not choose any of the four (4) choices, you will receive this error:

An Internal Error has occurred the error code is 74: ProcessDpListOptions

Your transaction will not be completed and you will need to start over from the beginning.

11.   This will bring up the final Drop Dead screen (Section 9.2f) before the document becomes a permanent part of the System. This screen looks like:

Docket Text: Final Text

COMPLAINT *for damages* against all defendants (Filing fee $ 150.), filed by Josephine S Walters. Scheduling Report due by 1/13/2004. (attorney1,)

Attention!! Pressing the NEXT button on this screen commits this transaction. You will have no further opportunity to modify this transaction if you continue.

Next   Clear

Screen 19

Remember: At this point
1.   You may use the Back and Forward buttons to check and correct your work.
2.   You may abort this entry with the Back button, Clear or by pressing any of the menu buttons.
3.   Once you click Next, the document will become a permanent part of our System and will be served electronically on the other parties.

If you want to complete the transaction, click Next.

12. This will bring up the notice of electronic filing ("NEF"). (Section 9.2g)

U.S. District Court

Northern District of Iowa

Notice of Electronic Filing

The following transaction was received from Attorney1, entered on 4/22/2003 at 3:53 PM CDT and filed on 4/22/2003
Case Name: USA v. Heald
Case Number: 1:03-cv-6
Filer: USA
Document Number: 5

Docket Text:
Final MOTION to Compel *testimony* by Plaintiff USA. (Attorney1,)

The following document(s) are associated with this transaction:

Document description: Main Document
Original filename: n/a
Electronic document Stamp:
[STAMP dcecfStamp_ID=1025896836 [Date=4/22/2003] [FileNumber=60036-0]
5079d3448270e94d611b1127ff740e08af64569106b4549d74b69324393c3bfce016b
3a9b545f23fe1164eb0b4d2ff345cd21c9e4baf3fe0221fd4425f48c445c]]

1:03-cv-6 Notice will be electronically mailed to:

Attorney1   attorney1@mymail.com

ausa1   ausa1@usamail.com

ausa8   ausa8@usamail.com

1:03-cv-6 Notice will not be electronically mailed to:

Screen 20

c.   **Docketing a Motion for Summary Judgment**:
The requirements for filing a motion for summary judgment are found in LR 56.1. To file a motion for summary judgment in the Northern District of Iowa, four (4) documents are generally required. These are the motion, a brief, a statement of material facts and an appendix. The procedure we have adopted under CM/ECF is to file the motion and attach the brief, statement of material facts and appendix to the underlying motion. This allows all relevant documents to be accessed in one spot. **Note: Subsection (e) of the Local Rule requires a paper copy of the appendix, in the form set out in the Rule, to be filed with the court within three (3) court days if the copy filed in electronic form is not in the required form.**

The steps for docketing a motion are as follows:

1.   Log in (Section 5.0).
2.   From the menu screen (Section 8.2) click on Civil.

3.   Click on subheading "Motions" and you will see the following screen:

Motions Notice - Documents Filed Under Seal or Ex Parte
The court has made the decision pursuant to LR 5.3.e.1, to not allow the filing of sealed pleadings, motions or other documents or any ex parte filings to be made electronically. If any part of the pleading, motion or other document, which you are trying to file at this time is either sealed or exparte, you must file a hard copy with the office of the Clerk of Court. You may not file it electronically

1:03-cv-00004-LRR Schau v. CNA Group Life Co, et al

Select the party who is filing the document:

Select the Party:

CNA Group Life Assurance Company, [Defendant]
Continental Casualty Company, [Defendant]
Mercy Hospital, [Defendant]
Mercy Medical Center/Mercy Physicians Services Group Disability Plan, [Defendant]
Mercy Physician Services, Inc., [Defendant]
Schau, Kathleen [Plaintiff]

Add/Create New Party

Next   Clear

Screen 15

You will note that the motions are listed in alphabetical order so you will have to scroll down until you see Summary Judgment or you can highlight an event and type S. The System will take you to the S's. At that point, you can scroll to Summary Judgment.

Remember that by clicking the "**?**"on the main screen, you are able to view the entire list of motion events available.

The screen for filing a motion for Summary Judgment should look like this:

Motions Notice - Documents Filed Under Seal or Ex Parte
The court has made the decision pursuant to LR 5.3.e.1, to not allow the filing of sealed pleadings, motions or other documents or any ex parte filings to be made electronically. If any part of the pleading, motion or other document, which you are trying to file at this time is either sealed or exparte, you must file a hard copy with the office of the Clerk of Court. You may not file it electronically

Stay
Stay Due to Bankruptcy
Strike
Substitute Attorney
Substitute Party
Summary Judgment
Temporary Restraining Order
UNRESISTED Motion

Next   Clear

Screen 36

Now click Next.

4.   The case number screen (Section 9.2a) will appear. Type in the case number and click on Next.

5.   The next screen you see will be the Party Filer Screen (Section 9.2b). Highlight the party you represent and click Next.

6.   This will bring you to the screen requiring you to attach a document in PDF format. Attach the document (Section 9.2d) and, before clicking Next, click in the "Yes" box next to "Attachments to Document". You will see this screen:

Now click Next and you will see the screen that allows documents to be attached:

Select one or more attachments.

1) Enter the **pdf** document that contains attachment (for example: C:\appendix.pdf).

Filename

[_____] [Browse...]

_____

2) At your option, select a document type and/or enter a description.

Type   **Description**

[_____▾] [_____]

3) Add the filename to the list box below. If you have more attachments, go back to Step 1. When the list of filenames is complete, click on the Next button.

[▲] [Add to List]

[▼] [Remove from List]

[Next]

Screen 38

Click on the Browse button and add your brief. Then select Brief from the drop-down box and add any description you feel is necessary in the free text description box.

Now click on "Add to List" and the screen should look like.

Select one or more attachments.

1) Enter the **pdf** document that contains attachment (for example: C:\appendix.pdf).

Filename

[_____] [Browse...]

_____

2) At your option, select a document type and/or enter a description.

Type   **Description**

[_____▾] [_____]

3) Add the filename to the list box below. If you have more attachments, go back to Step 1.

[03cr3007ord0822.pdf ▲] [Add to List]

[▼] [Remove from List]

[Next]

Screen 39

Add the Statement of Material Facts and Appendix in the same manner and click Next.

7.   The next screen shows the Response Deadline for the

motion. Click Next.

8.   This brings up a text box (Section 9.2e). Add any desired text and review the docket text that appears. If this is how you want the docket to read, click Next.

9.   This brings up the Drop Dead screen (Section 9.2f).

Remember: At this point

1.   You may use the Back and Forward buttons to check and correct your work.

2.   You may abort this entry with the Back button, Clear or by pressing any of the menu buttons.

3.   Once you click Next, the document will become a permanent part of our System and will be served electronically on the other parties.

If you want to complete the transaction click Next.

10.   This brings up the Notice of Electronic Filing Screen (Section 9.2g).

d.   <u>**Motion To Extend Time**</u>:

The steps for docketing a motion for extension of time are similar to those set out above.

1.   Log in (Section 5.0).

2.   From the menu screen (Section 8.2) click on Civil.

3.   Click on subheading "Motions". When you scroll to Extension of Time, you will see the following options:

Screen 40
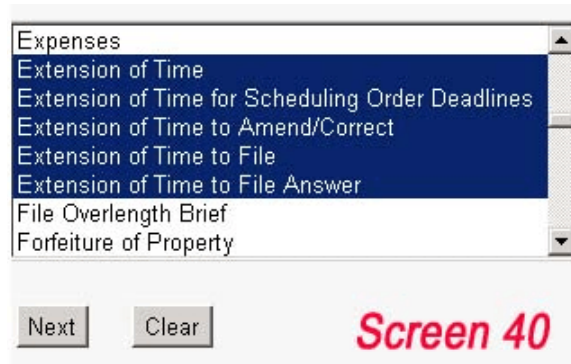
These events are to be used only if, after you have made the required inquiry of other counsel, you find the motion is contested. If the motion is uncontested, you should use the motion entitled "Unresisted Motion". We have established a procedure for expedited review of the "Unresisted Motion", so it is important that you utilize the correct event.

Indeed we have built in a prompt to remind you of this so, before you can complete this transaction, you will see:

**Use this event only if the motion is contested. See LR 7.1k
If the motion is uncontested then back out and use unresisted motion.**

Next   Clear   *Screen 41*

4.   It is also important that you select the event that sets out the event you are seeking to extend. Different extensions require different information. If you do not see a specific event, use "Extension of Time". This is the generic event.

5.   For example, if you use "Extension of Time" after you indicate the motion is not unresisted, you will get a screen that prompts you to enter what it is you are seeking to extend:

What is to be extended: [   ]

Next   Clear   *Screen 42*

If you are seeking extra time to post a bond, you would type that in the text box and press Next. This will add that language to the docket text.

By way of contrast, if you are seeking an extension of time for Scheduling Order Deadlines you will see the following screens:

Please refer to LR 16.1f and include a description
of the discovery not completed, a description of the
discovery which has been completed, an explanation
of why all discovery cannot be completed by the existing
deadline, a statement of when discovery will be completed,
and a statement of whether the moving party believes the
requested extension will affect any scheduled trial date.
The motion must also state whether or not it is resisted LR 7.1k.
If the motion is not resisted please back out and use the unresisted motion.

Next   Clear   **Screen 43**

Please text in the text box what scheduling order deadline you wish extended.
add parties, amend pleadings, plaintiffs experts, defendants experts, plaintiffs
rebuttal experts, discovery, dispositive motion and trial readiness.

Deadline Wished Extended [   ]

Next   Clear   **Screen 44**

6.   Most of these events will give you the opportunity to link
        your motion to the event you are seeking to extend. The
        screen will look like this:

If you wish to link to a previously filed document check the refer box.

☐ **Refer to existing event(s)?**

    Filed [   ] to [   ]

Documents [   ]   to [   ]

Next   Clear   **Screen 21**

First check the box "Refer to existing event(s)?" You will see a
list of docketed events in the case. Check the box(es) next to
the event to which your motion relates, and click Next.

7.   After you have linked the document, the text box screen
        will appear. (Section 9.2e). Complete the text box as
        required and click Next.

8.   This will bring up the Drop Dead screen. (Section 9.2f.)

Remember: At this point
1.   **You may use the Back and Forward buttons to check and correct your work.**
2.   **You may abort this entry with the Back button, Clear or by pressing any of the menu buttons.**
3.   **Once you click Next, the document will become a permanent part of our System and be served electronically on the other parties.**

If you want to complete the transaction, click Next.

9.   This will complete the transaction and bring up the Notice of Electronic Filing screen (Section 9.2g)

e.   **Motion Requiring Proposed Pleadings to be Attached (*i.e.*, Motions to Amend or to File Over Length Briefs):**
Pursuant to the court's Local Rules, some motions including Motions to Amend (LR 15.1) and Motions to File Over Length Brief (LR 7.1(h)), require that a document be submitted with the motion which will be detached and filed upon the court granting the motion. This process is the same as is currently being followed.

You simply file the motion and when you reach the attach document screen, you click in the Yes circle next to "Attachments to Document":

Select the **pdf** document (for example: C:\199cv501-21.pdf).

Filename

| O:\$INBOX\02cr1012cja0822.pdf | Browse... |

Attachments to Document: ○ No ⦿ Yes

| Next | Clear | **Screen 45** |

Click Next and you will see the following screen:

1) Enter the **pdf** document that contains attachment (for example: C:\appendix.pdf).

Filename

[   ] [Browse...]

2) At your option, select a document type and/or enter a description.

Type   **Description**

[▼] [   ]

3) Add the filename to the list box below. If you have more attachments, go back to Step 1.

[03cr3007ord0822.pdf ▲]   [Add to List]
[≡]
[▼]   [Remove from List]

[Next]

Screen 39

At this point you use the Browse button to find and attach the documents. Use the text to identify it. Then press "Add to the List". When all documents have been added, press Next.

We will detach and file the document if the motion is granted and you will receive electronic notice of its filing.

f.   **Filing Sealed or Ex Parte Documents**:
Pursuant to LR 5.3.e.1, the court has decided not to allow the electronic filing of sealed pleadings, motions or other documents or any ex parte filings. If any portion of the pleading, motion or other document, you are trying to file at this time is either sealed or ex parte, you must file a hard copy with the office of the Clerk of Court. **You may not file it electronically.**

g.   **Filing Motions For Which No Event is Listed**:
While our list of events is quite extensive, there will be situations where no event fits the motion you to file. In that case, use the event "Miscellaneous Relief". The procedure for using this event is similar to docketing any other motion. You highlight the event from the drop down list of motions and click Next; type in the case number and click Next; select the party filing the document and click Next; make the attorney connection and click Next; attach your document in PDF format; link the motion to another event if appropriate; add the

appropriate text in the text box and click Next; review the Drop Dead screen and click Next.

h. **<u>Filing Oversized Documents</u>**:
The System will not accept documents larger than 2MB in size. This applies to both original and scanned documents saved to PDF.

It is more likely that scanned documents will cause problems with file size. In order to avoid this, we recommend that, when scanning, you set your scanner to black and white and 200 dpi. If you use color or a higher dpi, the file size will increase dramatically. To check your file size, the document must be closed. Using Windows Explorer, locate the document on your network, right click on it and select Properties. That will show you the size. (1MB=1000KB)

If the document you are attempting to file is greater than 2 MB, the System will reject it and you will receive this message: "Your document exceeds 2 megabytes - please break it into smaller sections".

If this occurs, we recommend you break the document into logical pieces and file the first part of the document in the same manner as any other document. The pieces should be filed as attachments on the Attach PDF Document Screen (Section 9.2d). For example, if your brief is oversized, you may want to break it into sections by issues. If you have questions during this process, do not hesitate to contact the Help Desk.

9.5 **Examples of How to Docket Common Events - Criminal:**
The manner in which criminal events are docketed is similar to the way civil events are docketed. You may want to review Sections 5, 6 and 9.1-4 at this time. Likewise, the procedure for attaching documents and restrictions on oversized files is identical. This section will review some basic principles and highlight those areas unique to the criminal area. If you have questions, please feel free to contact us at any time.

a. **Docketing Complaints, Indictments and Informations (Sealed or Ex Parte Matters)**:
The Clerk's Office will continue to file and docket all initiating documents in criminal cases. Pursuant to LR 5.3.e.1, the court has decided to not allow the filing electronically of sealed pleadings, motions or other documents or any ex parte filings. If any part of the pleading, motion or other document you are trying to file at this time is either sealed or ex parte, you must file a hard copy with the office of the Clerk of Court. **You may not file it electronically**.

The procedures for filing documents under seal are set out in LR 5.1e and LCrR47.1 In criminal actions the court has adopted Administrative Order Number 03-AO-0010-P which suspends the operation of the Rule for many of the common criminal motions routinely filed under seal or ex parte.

b. **Docketing a Motion In a Criminal Case:**
1. Log in (Section 5.0).
2. From the menu screen (Section 8.2) click on Criminal.

3. Find the heading "Motions and Related Filings" and click on "Motions".

4. The case number screen (Section 9.2a) will appear. Type in the case number and click Next.

Case Number

| | 99-12345, 1:99-cv-12345, 1-99-cv-12345, 99cv12345, or 1:99cv12345 |

Next   Clear

Screen 14

5. The Party Filer Screen (Section 9.2b) will appear. Select the party filing the document and click Next.

Select the party who is filing the document:

Select the Party:

Commissioner of Social Security, [Defendant]
Walters, Josephine S [Plaintiff]

Add/Create New Party

Next   Clear

Screen 24

6. If this is the first filing you have made in this case, you will see the Link Party Attorney screen. If the screen is correct, check the box and click Next.

The following attorney/party associations do not exist for this case.
Please check which associations should be created for this case:

☐ Jones, Donald(pty:dft) represented by attorney1, (aty)

Next   Clear

Screen 47

7.   You will next see the following screen which allows you to select the motion you wish to file.

Motions

1:03-cr-00003-LRR USA v. Jones

Acquittal
Alter Judgment
Amend/Correct
Appeal In Forma Pauperis
Appear
Appoint Counsel
Appoint Expert/Advance Approval of Expert Fees
Attorney (New/Substitute)

Next   Clear   *Screen 48*

The motions are listed in alphabetical order so you will have to scroll down until you find the motion you wish to file. Remember, if you go back to the menu page you can see a list of all motions currently in the System.

If you highlight a motion and then type the first letter of the motion you wish to file, the System will take you to that part of the list beginning with that letter. By using the Control and Shift keys, you can highlight more than one motion. Highlight the motion or motions you wish to file and click Next.

8.   The next screen you see is the Add PDF Document Screen. (Section 9.2d).

1:02 cv 00002 JAJ Walters v. Comm Social Security

Per LR 56.1, please file your Brief and Statement of Material Facts as separate attachments to your motion. For the requirements relating to your Appendix, see LR 56.1(e)(2).

Select the **pdf** document (for example: C:\199cv501-21.pdf).

Filename

N:\$INBOX\03cv68ord0822.pdf   Browse...

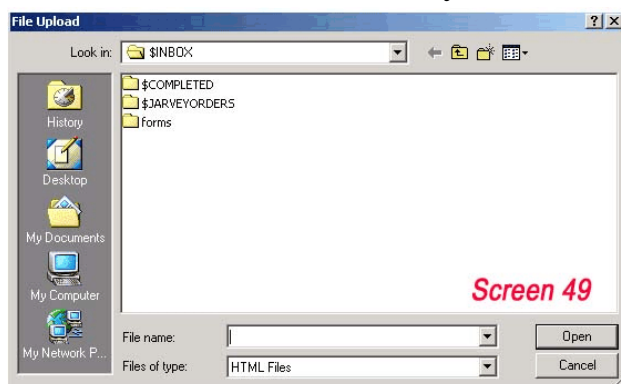**Attachments to Document:**   ○ No ◉ Yes

Next   Clear   *Screen 37*

Add your documents or attachments and press Next.
**Note: If this is a sealed motion, do not attach it here
but file it in the traditional manner with the Clerk's
Office.**
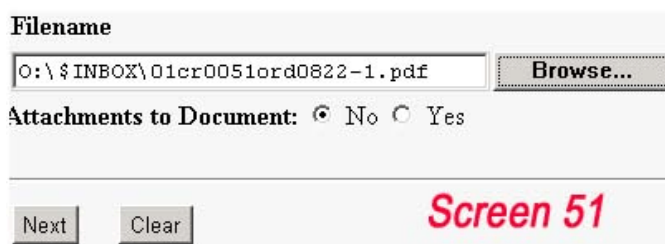
Remember: The steps to add a document are as follows:

1.   Click on Browse and you will see:

Screen 49

2.   Be sure to change "HTML Files" to "All Files".

Screen 50

3.   Highlight the document you wish to file. To review
      the document, right click on it and then Open. If it
      is the correct document, click Open.

Screen 51

4.   At this screen you may click Next if you are done

or click on the Yes button and hit Next to add an attachment. If you click Yes and Next you will see the following screen:

Screen 39

Add the attachment by repeating the above process. Add the type or description, select Add to List and Next when you are finished.

5.   The next screen is the Text Box (Section 9.2e). Pick the appropriate information and click Next.

Screen 52

6.   This brings you to the final or Drop Dead screen (Section 9.2f). This is the last screen that allows you to review or modify your work before the transaction becomes final.

Screen 19

If you want to complete the transaction, click Next.

       7.   This will bring up the Notice of Electronic Filing screen.

c.   **Docketing Special Motions**:
    1.   **Motions For Which There is No Specific Event:**
        If you cannot find an event that fits the motion you are attempting to docket, highlight "Miscellaneous Relief" at the motion screen and click Next.

Screen 53

2. **Unresisted Motions:**

If your motion is unresisted, it will receive expedited treatment if you use the "Unresisted Motion" event. At the motions screen, simply highlight "UNRESISTED Motion" and proceed as though docketing any other motion.
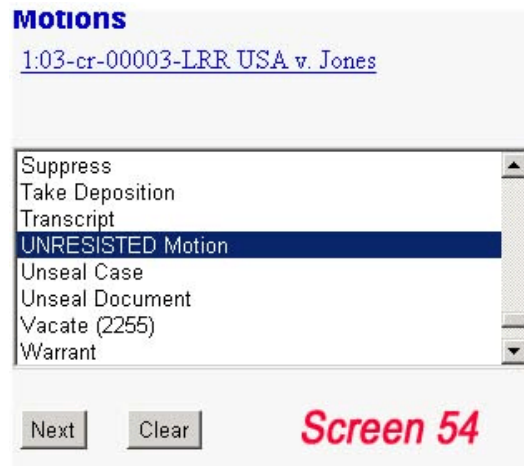
3. **Motions Under 28 U.S.C Section 2255:**

Since these motions involve opening a new case, they should be filed with the Clerk's office in the traditional manner.

SECTION 10.0 QUERY FEATURE:

1. **Accessing the Query Screen**:

This feature may be used to locate a wide variety of information in the ECF filing system. Specifically, you are able to search the database by Case Number, Filing Date, Nature of Suit, Party Name and by Attorney.

To enter the Query Feature, simply click on Query from the main menu bar:

This will open your PACER Login screen. You must enter your PACER login and password before you will be allowed to query the CM/ECF database.

<u>Note:</u> Your PACER Login and password are different from your CM/ECF login (Section 2.4). You must have a PACER account in order to retrieve, view, and/or print certain documents. You will be charged a fee of $.07 per page to access documents, docket sheets, *etc.*, from CM/ECF.

When you have entered your **PACER** login and password, you will see the following screen:

Screen 55

2. <u>**Searching by Case Number**</u>:
   The first option this screen offers is to search by case number. If you know the case number, simply type it in the box following Case Number. We recommend you use the format YY-XXXX, *e.g.*, the last two numbers of the year and the case number. This will allow you to access all cases with that number and you will see a screen that looks like this:

Criminal   c   cr =
mj=Magistrat   v = Civil
mc=Miscella   e
                                                                                                                 neous

There is more than one case that matches the number entered; select the appropriate case below.

☐ 1:03-cr-00003-LRR - USA v. Jones
☐ 1:03-cv-00003-JAJ - Camizzi v. Comm Social Security

Next   Clear   Screen 56

Click on the box in front of the case you wish to access and click Next.

Choose Case Summary.

The Case Summary screen will look like this:

1:03-cv-00003-JAJ Camizzi v. Comm Social Security
John A Jarvey, presiding
Date filed: 01/13/2003
Date terminated: 06/23/2003 Date of last filing: 06/23/2003

Case Summary

Office:	Cedar Rapids	Filed:	01/13/2003
Jury Demand:		Demand:	0
Nature of Suit:	864	Jurisdiction:	U.S. Government Defendant
Cause:	42:405 Review of HHS Decision (SSID)	Disposition:	Dismissed - Settled
County:	Linn	Terminated:	06/23/2003
Origin:	1	Reopened:	
Lead Case:	None		
Related Case(s):	None	Other Court Case(s): None	

Flags: CONMAG, CLOSED

Party 1: John M Camizzi   (Plaintiff)

Party 2: Commissioner of Social Security   (Defendant)

Atty: Michael DePree   Represents party 1: Plaintiff   Phone: 563 323 6685
                                                                     Fax: 333 2499

Atty: Thomas A Krause   Represents party 1: Plaintiff   Phone: 515 223 1777
                                                                     Fax: 223 1441

Atty: Lawrence D Kudej   Represents party 2: Defendant   Phone: 319 363 0091
                                                                     Fax: 363 1990   **Screen 58**

Displayed at the top of the screen are the case number, parties to the case, presiding judge, date the initial claim was filed, and the date of the last filing in the case. You may also choose specific case information from the list under Query.

The most frequently used of these items are:

Attorney: Displays the names, addresses, and telephone number of the attorneys who represent each of the parties in the case.

Case Summary: Provides the information on the screen above.

Deadlines/Hearings: Provides a screen that allows you to query the database by various means to obtain hearing and other schedule deadlines.

Click "Run Query".

Screen 59

By clicking on the document number you may see the actual document.

> Docket Report: This report allows you to bring up the docket sheet which is discussed in Section 11.2.

3.   <u>Search by Nature of Suit</u>:
This allows you to locate particular types of cases in the court's database. For example, if you are looking for cases involving medical malpractice, you can highlight 362 (Personal Inj.\Med. Malpractice) and bring up all cases filed under that code. These codes can be found on the civil cover sheet. **Note: You must type in a filed range.**

4.   <u>Search by Name (Party or Attorney)</u>:
This feature allows you to search the database by party name or by attorney.

Screen 60

Type the last name in the designated box (first and middle names are optional) and indicate if the search is for a party or an attorney. The System will list the cases filed involving that attorney or that party and produce a screen similar to the query list above.

SECTION 11.0 REPORTS:

1. **Accessing the Reports Screen**:
   The feature may be used to access reports such as the Docket Sheet, Civil Cases, Criminal Cases and Calendar Events. Eventually you also will be able to access the Judgment Index.

   To enter the Reports feature, simply click Reports from the main menu bar.

   This will bring up the following screen from which the individual reports may be accessed.

2. **Docket Sheet Report**:
   This report allows you to access the docket sheet for any case in which you know the case number. When you click on the Docket Sheet report, you will bring up the following screen:

   You must type in the case number to run this report. The rest of the

screen gives you options to select what portions of the docket sheet will appear. You can set the date range or range of docket numbers. The checked boxes allow you to eliminate terminated parties, the list of parties and attorneys and links to Notice of Electronic Filing. This effectively limits the document you will have to examine. Finally, the "Sort by" feature allows you to control the order in which events are presented on the docket sheet. **Hint: If you are checking a case for recent filings, use "Most Recent Date First" and this will list the filings in reverse order, so you do not have to scroll through the entire docket sheet to view the most recent filings.**

An example of a section of a docket sheet using most recent first is set out below:

Filing Date	#	Docket Text
08/08/2003	21	ORDER ACCEPTING REPORT AND RECOMMENDATION re PLEA as to Defendant Shawn Owen for 20 Report and Recommendation to Accept Guilty Plea to Count 1. Signed by Judge Linda R Reade on 8/8/03. (mem) (Entered: 08/08/2003)
07/24/2003	20	REPORT AND RECOMMENDATION to Accept Guilty Plea to Counts 1 as to Shawn Owen Objections to R&R due by 8/7/2003. Signed by Judge John A Jarvey on 7/24/03. (deve) (Entered: 07/28/2003)
07/24/2003	19	CONSENT TO INSPECTION of Presentence Investigation Report by Defendant Shawn Owen (deve) (Entered: 07/28/2003)

Screen 64

The document numbers in the middle column are hyperlinks to the PDF files of the actual documents. In most cases, a grey ball will also appear to the left of the number. By clicking on this ball, the "Electronic Notification Report" for the document will be displayed.

3.   **Civil Case Report**:
The Civil Cases report allows you to search the database to locate cases electronically filed within a specific date range, by Nature of Suit and Cause Code or Flags. You are required to enter this report through **PACER.**   The following screen will appear:

Civil Cases Report

Office	Case type	Nature of suit	Case flags	Cause
Cedar Rapids / Eastern Dubuque	Civil / Miscellaneous	0 (zero) / 110 (Insurance)	2254 / 2255	0 (No cause code / 00:0000 (00:0000

Filed 8/20/2003 to 8/27/2003

Terminal digit(s) [   ] 2, 4-7   ☑ Open cases   ☐ Closed cases

Sort by [Case Number ▼] [▼] [▼]

[Run Report] [Clear]

Screen 65

Similar to all other CM/ECF reports, highlighting an item will limit your search in that field to that specific item. For example, if you highlight Cedar Rapids under "Office" you will pull up only those case filed in the Cedar Rapids division.

To proceed with your search, highlight the desired items. For example, if you wish to find all civil cases opened in Cedar Rapids, highlight Cedar Rapids, Civil and change the Filed field to 8/01/2003 to 8/31/2003. Then click "Run Report".

The report will look like this:

Civil Cases Report

U.S. District Court -- Northern District of Iowa

Filed Report Period: 08/01/2003 - 08/31/2003

Case Number/ Title	Date Filed/ Reopened/ Added	Date Closed/ Reclosed	Days Pending	Notes
1:02-cv-00063-JAJ Horton v. Comm Social Security	*Reopened:* 08/26/2003		1	*Cause:* 42:405 Review of HHS Decision (SSID) *NOS:* Social Security: SSID Tit. XIV *Office:* Cedar Rapids *Presider:* John A Jarvey *Case Flags:* CONMAG REMAND REOPEN
1:03-cv-00068-MWB Maghee v. Ault	*Reopened:* 08/22/2003		5	*Cause:* 28:2254 Petition for Writ of Habeas Corpus (State) *NOS:* Habeas Corpus (General) *Office:* Cedar Rapids *Presider:* Mark W Bennett *Referral:* Paul A Zoss *Case Flags:* REOPEN HABEAS

Screen 67

The report gives you the case name, a link to the docket sheet, the date it was opened (closed), the days pending, the cause, division or office, presiding judge and any flags that have been set. If you want to see the docket sheet, simply click on the case number.

4. **Criminal Case Report**:
The criminal case report is similar to the civil case report. **Note: Both reports omit sealed cases.** The report screen looks like:

Example: If you want to check for criminal cases filed in Cedar Rapids between 8/20/2003 and 8/27/2003, make the following entries and click "Run Report":

The results would be:

Criminal Cases Report

U.S. District Court - - Northern District of Iowa

Report Period: 08/20/2003 - 08/27/2003

Case Number/ Title	Date Filed/ Reopened/ Added	Date Closed/ Reclosed	Days Pending	Notes
1:03-cr-00091-LRR - USA v. Pena-Flores				Office: Cedar Rapids
1 Sergio Alberto Pena-Flores	*Filed*:08/22/2003		5	Presider: Linda, R Reade Referral: John, A Jarvey
1:03-cr-00092-LRR - USA v. Emrich				Office: Cedar Rapids
1 Clifton Emrich	*Filed*:08/22/2003		5	Presider: Linda, R Reade Referral: John, A Jarvey

Total Number of Cases Reported: 2   **Screen 70**

5.   **Calendar Reports**:
This report allows you to check the court's schedule in a number of different ways. The screen you see will look like:

Calendar Events Report

Case number [ ]

Office: Cedar Rapids (1) / Eastern Dubuque (2) / Central Division (3)

Calendar events: All Hearings / Allocution Hearing / Arbitration Hearing

Set [8/10/2003] to [8/31/2003] [Calendar]

○ Both ○ AM ○ PM

Time [ ] ○ AM ○ PM

Sort by [Time]

[Run Report] [Clear]   **Screen 71**

Again, similar to most CM/ECF reports, by highlighting an item you limit your search. This report allows you to check the schedule for a particular case by inserting the case number. It also allows you to check the schedule generally for a specific date range.

Note: The section Calendar events allows you to limit your search

to specific types of court events. The indicated search would reveal a screen similar to:

The report gives you the date and time, a link to the docket sheet, the parties and a summary of the docket entry. To see the docket sheet, simply click on the case number. To see the actual docket entry, click the grey ball. This will show the actual entry with a hyperlink to the PDF document that created it. If you are a party to the case, simply click on the number to view a document.

Note: At this time criminal cases are generally not being made available to the public, so access to the actual documents is very limited.

SECTION 12.0 TROUBLESHOOTING

12.1 Unable to view the "free peek".

One "free peek" is given for every document. However, Social Security Cases and Criminal Cases restrict access to the documents to attorneys of record only.

Here is the procedure to follow to retrieve your "free peek":

a.   Log in to ECF using your COURT login/password
b.   **THEN** go into your email client and double click on the **DOCUMENT NUMBER** (NOT the hyperlink to the case)
c.   If Pacer needs to authenticate that you are the attorney of record, you will be prompted for a login/password - enter your **PACER LOGIN AND PASSWORD** at this point.

It is a good idea to view all of your email notices at the same time, that way you don't have to log in each time you receive an email notice.

12.2 Receiving error "You do not have permission to view this document".

a)   If you are dealing with a social security case or a criminal case, you MUST be logged in as the attorney of record, otherwise you will get the error.

b)   If you are using a browser other than Netscape, you may get this error. Review Section 2.3 of this manual for instructions on downloading Netscape. REMEMBER: Netscape is the browser of choice, you will have fewer problems with Netscape!

APPENDIX A

SCANNING TIPS

- Use 200dpi for scanning documents.
- Set image type to black and white bitmap, text (image only), or line art.

- Do not use OCR or Textbridge, these options scan the document for altering or word processing. For filing purposes, we need only an image of the document.

- Use black ink if possible. Blue ink and pencil do not scan well. If necessary, make a copy of the document before scanning it, and darken with the copy machine settings.

- For large documents, where only the last page has a signature, consider converting the document to PDF in your word processor and only scanning the signature page. Use Adobe Acrobat Writer to combine the two PDF files.

- Request depositions on floppy disk and convert them to PDF using a word processor.

- Use Adobe Acrobat Writer software on the scanning computer to simplify the scanning process. Scan documents directly into Adobe by clicking **File**…**Import**…**Scan** on the menu bar. (Note: you can still use pdfFactory on other computers to convert word processed documents)

- Check the size of a scanned document before uploading it to CM/ECF. The size limit is 2MB per document. To check the file size, locate the file in Windows Explorer, right click on the file and choose Properties.

- Estimated number of pages in a 2MB scanned document
    - Plain text, correspondence, pleadings, etc. 30-40 pages
    - Tables, charts, extensive graphics 10-15 pages
    - Condensed transcripts 10-12 pages

- If a scanned document is larger than 2MB, use Adobe Acrobat Writer to extract pages from the document to a separate file or use pdfFactory to print the pages to two separate files. This prevents re-scanning the document.

APPENDIX B

Suggestions for Adobe Version 6.0

In the summer of 2003, Adobe began selling Acrobat Version 6.0. Although the court is using version 5.0 (which is no longer available), CM-ECF is compatible with the new version.

Here are some tips for Adobe Version 6.0 users:

**PREPARING THE WORDPERFECT DOCUMENT:

1. Reminder: Do not use the PDF Creator that is a part of the Corel Suite.

2. Set Adobe PDF Writer as the default printer BEFORE opening the WordPerfect document.

3. Before printing, perform a "File --> Save As" and save the document as a normal WordPerfect document. This cleans the document and gets rid of any embedded code that might be lingering due to editing, but is not visible in the actual document.

4. Minimize the number of different fonts used in the document. We suggest you set the default font to Courier (NOT Courier New or Times New Roman or any other TrueType font). So far, tests have shown that using True Type fonts drastically increases the size of the document. Set the default font by going to "File --> Document --> Default Font."

5. The CM/ECF Project Team recommends a 200x200 dpi resolution. A higher resolution appears to dramatically increase the file size. Because Adobe Acrobat is often used for publishing, some of the standard settings have a 1200x1200 resolution.

6. When you print the document, click on the "Details" tab in the "Print" window, change the "Resolution" to "200x200," then un-check the following check boxes (if they were checked when you entered the window): "Print in color" and "Print text only." Note: This hint does not apply to WordPerfect 10 users who do not have the "Details" tab. Don't worry; our initial tests have shown that WordPerfect 10 creates MUCH smaller PDF files than WordPerfect 9.

IN ADOBE ACROBAT 6:

1. To do the following from Adobe Acrobat 6.0, go into: Advanced --> Acrobat Distiller.

2. From Acrobat Distiller, set the following: Default Settings: Smallest File Size.

3. Changing the compatibility to Acrobat versions 4.0, 5.0, or 6.0 had no effect on the size of the saved file. In order to ensure the document is viewable in Acrobat 4.0, set the compatibility to Acrobat 4.0 (PDF 1.3). To change the compatibility, set the following from Acrobat Distiller: Settings --> Edit Adobe PDF Settings -->

    General --> Compatibility --> Acrobat 4.0 (PDF 1.3) [select this]

4. Embedding fonts is recommended so the PDF document is the same or very similar to the original WordPerfect document. Indications from our preliminary tests with the Courier font are that embedding fonts does not affect file size; however, the jury is still out on this. To enable font embedding, set the following from within Acrobat Distiller: Settings --> Edit Adobe PDF Settings --> Fonts --> Embed all fonts (check the check box)

Again, Adobe Acrobat Version 6.0 is compatible with the CM/ECF software….and as noted throughout this announcement, we are continuing to test how to best use Acrobat 6.0. We will provide more details and further clarification on the "hints" provided above within the upcoming weeks.

IMPACT ON SYSTEM PERFORMANCE: Text documents are much smaller than imaged documents. For a typical document, its PDF text version would be only 20% of the size of its imaged version. Therefore, whenever an imaged document is stored or viewed, it puts five to ten times more load on the network than it would as a text document. It also can take five to ten times as long to transfer.

** NOTE: Although this document makes reference to WordPerfect, many of the notes are applicable to Microsoft Word.